

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Jan Stallaert et al.  
Serial No.: 09/067,640  
Filed: April 27, 1998  
Art Unit: Not assigned  
Examiner: Not assigned  
For: APPARATUS FOR TRADING OF BUNDLED ASSETS  
INCLUDING BUNDLE SUBSTITUTION AND  
METHOD THEREFOR

**SUPPLEMENTAL**  
**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

In accordance with 37 C.F.R. § 1.56 and § 1.97, Applicants submit herewith patents, publications or other information that they believe may be material to the patentability of this application. A copy of the references cited in the attached Supplemental Form PTO-1449 are enclosed.

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**CERTIFICATION UNDER 37 C.F.R. § 1.8**

I hereby certify that this correspondence (along with any item referred to as being enclosed herewith) is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on October 11, 1999.

Signature

**Toni Asendorf**

(Printed name of person certifying)

Respectfully submitted,

WINSTEAD SECHREST & MINICK P.C.

Attorneys for Applicants

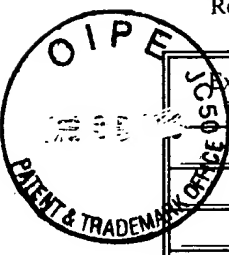
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368:18608-P001C1

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANTS' INFORMATION DISCLOSURE  
STATEMENT**

## Reference Designation

**U.S. PATENT DOCUMENTS**


Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
AAA	5,689,652	11/18/97	Lupien et al.	395	237	
ABC	5,873,071	02/16/99	Ferstenberg et al.	705	37	
ACA						
ADA						
AEA						
AFA						
AGA						
AHA						
AIA						

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation	
						Yes	No
ANA							
AOA							
APA							

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**Examiner  
Initial

- \_\_\_\_ AQA Ming Fan et al., *Creating Electronic Markets*, Dr. Dobb's Journal, November 1998, pp. 52, 54-56.
- \_\_\_\_ ARA Ming Fan et al., *A Web-Based Financial Trading System*, Computer, Vol. 32, No. 4, April 1999, pp. 64-70.
- \_\_\_\_ ASA R. M. Miller, *On Distributing the Intelligence of Economic Processes*, Economics and Artificial Intelligence Proceedings of the IFAC/IFORS/IFIP/IASC/AFCEC Conference, Aix-En-Provence, France, 2-4 Sept., 1986, p. 161, XP002102608.

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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